

FORM PTO-1449		Atty. Docket No.: 1151.110601	Serial No.: 09/963,777
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Bruce J. Perrson et al.	
		Filing Date: September 26, 2001	Group Art: 3762
		JAN 14 2002 PATENT & TRADEMARK OFFICE	

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JO	AA 2001/0020177 A1	09/06/01	Gruzdowich et al.	—	—	01/22/2001
	DK RE 30,366	08/12/80	Rasor et al.	—	—	
	AB 3,645,267	02/29/72	Hagfors	—	—	
	AC 3,650,277	03/21/72	Sjostrand et al.	—	—	
	AD 4,014,318	03/29/77	Dockum et al.	—	—	
	AE 4,256,094	03/17/81	Kapp et al.	—	—	
	AF 4,331,157	05/25/82	Keller, Jr. et al.	—	—	
	AG 4,525,074	06/25/85	Murakami	—	—	
	AH 4,551,862	11/12/85	Haber	—	—	
	AI 4,586,501	05/06/86	Claracq	—	—	
	AJ 4,640,286	02/03/87	Thomson	—	—	
	AK 4,682,583	07/28/87	Burton et al.	—	—	
	AL 4,702,254	10/27/87	Zabara	—	—	
	AM 4,709,690	12/01/87	Habor	—	—	
	AN 4,739,762	04/26/88	Palmaz	—	—	
	AO 4,762,130	08/09/88	Fogarty et al.	—	—	
	AP 4,762,820	08/09/88	Gavrus	—	—	
	AQ 4,770,177	09/13/88	Schroepel	—	—	
	AR 4,791,931	12/20/88	Slate	—	—	
	AS 4,800,882	01/31/89	Gianturco	—	—	
	AT 4,803,988	02/14/89	Thomson	—	—	
	AU 4,813,418	03/21/89	Harris	—	—	
	AV 4,828,544	05/09/89	Lane et al.	—	—	
	AW 4,860,751	08/29/89	Callaghan	—	—	
	AX 4,867,164	09/19/89	Zabara	—	—	
✓	AY 4,881,939	11/21/89	Newman	—	—	

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Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AZ	4,886,062	JAN 14 2002 12/12/89	Wiktor			
BA	4,887,698	12/19/89	Mohl et al.	/	/	
BB	4,917,092	04/17/90	Todd et al.	/	/	
BC	4,969,458	11/13/90	Wiktor	/	/	
BD	5,025,807	06/25/91	Zabara	/	/	
BE	5,078,736	01/07/92	Behl	/	/	
BF	5,113,869	05/19/92	Nappholz et al.	/	/	
BG	5,117,826	06/02/92	Bartelt et al.	/	/	
BH	5,170,802	12/15/92	Mehra	/	/	
BI	5,181,911	01/26/93	Shturman	/	/	
BJ	5,199,428	04/06/93	Obel et al.	/	/	
BK	5,222,971	06/29/93	Willard et al.	/	/	
BL	5,295,959	03/22/94	Gurbel et al.	/	/	
BM	5,299,569	04/04/94	Wernicke et al.	/	/	
BN	5,304,206	04/19/94	Baker, Jr. et al.	/	/	
BO	5,314,453	05/24/94	Jeutter	/	/	
BP	5,318,592	06/07/94	Schaldach	/	/	
BQ	5,330,507	07/19/94	Schwartz	/	/	
BR	5,330,515	07/19/94	Rutecki et al.	/	/	
BS	5,458,626	10/17/95	Krause	/	/	
BT	5,509,888	04/23/96	Miller	/	/	
BU	5,522,854	06/04/96	Ideker et al.	/	/	
BV	5,529,067	06/25/96	Larsen et al.	/	/	
BW	5,531,779	06/04/96	Dahl et al.	/	/	
BX	5,535,752	07/16/96	Halperin et al.	/	/	
BY	5,540,734	07/30/96	Zabara	/	/	
BZ	5,545,132	08/13/96	Fagan et al.	/	/	
CA	5,575,809	11/19/96	Sasaki	/	/	
CB	5,578,061	11/26/96	Stroetmann et al.	/	/	
CC	5,634,878	06/03/97	Grundei et al.	/	/	
CD	5,651,378	07/29/97	Matheny et al.	/	/	
CE	5,690,681	11/25/97	Geddes et al.	/	/	
CF	5,692,882	12/02/97	Bozeman, Jr. et al.	/	/	
CG	5,695,468	12/09/97	Lafontaine et al.	-	-	

Francis P. Owsley 2/10/04

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Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JO	CH 5,700,281	12/23/97	Zabara	—	—	
	CI 5,707,400	01/13/98	Terry, Jr. et al.	—	—	
	CJ 5,715,837	02/10/98	Chen	—	—	
	CK 5,725,471	03/10/98	Davey et al.	—	—	
	CL 5,725,563	03/10/98	Klotz	—	—	
	CM 5,727,558	03/17/98	Hakki et al.	—	—	
	CN 5,741,316	04/21/98	Chen et al.	—	—	
	CO 5,800,464	09/01/98	Kieval	—	—	
	CP 5,807,258	09/15/98	Cimochowski et al.	—	—	
	CQ 5,814,079	09/29/98	Kieval	—	—	
	CR 5,824,021	10/20/98	Rise	—	—	
	CS 5,876,422	03/02/99	van Groeningen	—	—	
	CT 5,891,181	04/06/99	Zhu	—	—	
	CU 5,913,876	06/22/99	Taylor et al.	—	—	
	CV 5,916,239	06/29/99	Geddes et al.	—	—	
	CW 5,928,272	07/27/99	Adkins et al.	—	—	
	CX 5,967,986	10/19/99	Cimochowski et al.	—	—	
	CY 5,967,989	10/19/99	Cimochowski et al.	—	—	
	CZ 5,987,352	11/16/99	Klein et al.	—	—	
	DA 6,006,134	12/21/99	Hill et al.	—	—	
	DB 6,023,642	02/08/00	Shealy et al.	—	—	
	DC 6,050,952	04/18/00	Hakki et al.	—	—	
	DD 6,052,623	04/18/00	Fenner et al.	—	—	
	DE 6,058,331	05/02/00	King	—	—	
	DF 6,061,596	05/09/00	Richmond et al.	—	—	
	DG 6,073,048	06/06/00	Kieval et al.	—	—	
	DH 6,077,227	06/20/00	Miesel et al.	—	—	
	DI 6,077,298	06/20/00	Tu et al.	—	—	
	DJ 6,161,029	12/12/00	Spreigl et al.	—	—	
	DK 6,178,349 B1	01/23/01	Kieval	—	—	
	DL 6,231,516 B1	05/15/01	Keilman et al.	—	—	
✓	DM 6,292,695 B1	09/18/01	Webster, Jr. et al.	—	—	

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O I P E FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Sub Class	Translation Yes No
JPO	DN	WO 99/26330	06/03/99	PCT			
JPO	DO	WO 99/42039	08/26/99	PCT	—	—	
JPO	DP	WO 99/42176	08/26/99	PCT	—	—	
JPO	DQ	WO 97/18856	05/29/97	PCT	—	—	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JPO	DR	U.S. Patent Application Serial No. 09/963,991, filed September 26, 2001, entitled "Mapping Methods for Cardiovascular Reflex Control Devices", to Robert S. Kieval et al.
JPO	DS	U.S. Patent Application Serial No. 09/964,079, filed September 26, 2001 entitled "Stimulus Regimens for Cardiovascular Reflex Control" to Robert S. Kieval et al.
JPO	DT	"Cardiovascular Reflexes From Ventricular & Coronary Receptors", <u>Adv. Exp. Med. Biol.</u> , 1995, 381:157-74.
JPO	DU	"Non-Invasive Heat-Delivery To Arterial Stented Segments In Vivo: Effect of Heat on Intimal Hyperplasia", JACC, 1041-89, February 2000.
JPO	DV	"The Haemodynamic Basis of Anginal Relief Produced By Stimulation of the Carotid Sinus Nerve", <u>Acta Medica Academiae Scientiarum Hungaricae</u> , 30 (1-2), pp. 61-65, 1973.
JPO	DW	Correspondence, <u>The New England of Journal of Medicine</u> , Vol. 281, July 3, 1969, No. 2. 1 PAGE
JPO	DX	"Carotid Sinus Stimulation For the Treatment of Angina Pectoris", <u>Official Journal of the Calif. Medical Assoc.</u> , Vol. 112, No. 3, pps. 78-79, March 1970.
JPO	DY	"Circulatory Effects of Carotid Sinus Stimulation & Changes in Blood Volume Distribution in Hypertensive Man", <u>Acta. Physiol. Scand.</u> , 1981, 111:299-306, March 1981.
JPO	DZ	"Surgical Treatment of Hypertension with Reference to Baropacing", <u>The Amer. Jour. Of Cardiology</u> , Vol. 17, May 1966, pps. 663-667. BILGUTAY ET AL
JPO	EA	"Baropacing of the Carotid Sinus Nerve for Treatment of Intractable Hypertension", <u>Zeitschrift Für Kardiologie</u> , band 64, Heft 4, pps. 368-374, 1975.
JPO	EB	"Laryngospasm Induced by a Carotid-Sinus-Nerve Stimulator", <u>The New England Journ. Of Med.</u> , No. 13, pps. 709-710, undated, admitted prior art.
JPO	EC	"Fine Structure of Baroreceptor Terminals in the Carotid Sinus of Guinea Pigs & Mice", <u>Cell & Tissue Research</u> , 170, pps. 95-112 , 1976. BOCK ET AL
JPO	ED	"Structure of Rat Aortic Baroreceptors & Their Relationship to Connective Tissue", <u>Journal of Neurocytology</u> , pps. 401-414, 1979.
JPO	EE	"Baroreflex Anatomy", <u>Human Baroreflexes in Health & Disease</u> , pps. 19-30, 1992.
JPO	EF	"Implantation of a Carotid Sinus Nerve Stimulator", <u>AORN Journal</u> , pps. 53-56, December 1969.
JPO	EG	"The Treatment of Heart Disease", <u>Heart Disease</u> , Earl N. Silber, 2 nd Edition, MacMillan Publishing Co., pg. 1642, 1987.
JPO	EH	"Stimulation of the Carotid Baroreceptors Using a Radio-Frequency Method", <u>Israel J. Med. Sci.</u> , Vol. 1, No. 4, July 1965, pps. 630-632.
JPO	EI	"Studies on the Carotid Body & the Carotid Sinus Effects on the Heart by Electrical Stimulation of the Carotid Sinus Wall", <u>Jap. Heart J.</u> , Vol. 13, No. 2, March 1972, pps. 136-149 ITOH, KOJICHI
JPO	EJ	"Abstracts of the 40 th Scientific Sessions", Supplement II to Circulation, Vols. XXXV & XXXVI, October 1967, II-253, 1 sheet.
JPO	EK	Transvenous parasympathetic nerve stimulation in the inferior vena cava and atrioventricular conduction", <u>J. Cardiovasc. Electrophysiol.</u> , January 2000, 1 page.
JPO	EL	"New Technique for Vagal Nerve Stimulation", <u>Journal of Neuroscience Methods</u> , 1999, pp. 109-114.
JPO	EM	"Clinical Experience with a Helical Bipolar Stimulating Lead", <u>PACE</u> , Vol. 15, Part II, October 1992, pp. 1545-1556.

EXAMINER: Frances P. Chepiga DATE CONSIDERED: 2/10/04 & 10/20/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449		Atty. Docket No.: 1151.1106101	Serial No.: 09/963,777
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Bruce J. Perrson et al.	
		Filing Date	Group Art:
		September 26, 2001	3762

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U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AO	AA 09/963,991		Kieval et al.	—	—	09/26/2001
	AB 09/964,079		Kieval et al.	—	—	09/26/2001
	AC 4,481,953	11/13/1984	Gold et al.	—	—	
	AD 4,531,943	07/30/1985	Van Tassel et al.	—	—	
	AE 4,641,664	02/10/1987	Botvidsson	—	—	
	AF 4,664,120	05/12/1987	Hess	—	—	
	AG 4,825,871	05/02/1989	Cansell	—	—	
	AH 4,830,003	05/16/1989	Wolff et al.	—	—	
	AI 4,960,133	10/02/1990	Hewson	—	—	
	AJ 5,224,491	07/1993	Mehra	—	—	
✓	AK 5,259,394	11/09/1993	Bens	—	—	

FOREIGN PATENT DOCUMENTS

APR 26 2002

		Document No.	Date	Country	Class	Sub Class	Translation Yes No
AJ							
AK							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AO	AN	Bilgutay, A.M., et al., "Baropacing, a New Concept in the Treatment of Hypertension", from Baroreceptors and Hypertension Proceedings of an International Symposium, November, 1965, Pg 425-437
	AO	
EXAMINER: Frances P. Owyang		DATE CONSIDERED: 2/10/04

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>O P S C S FEB 14 2003 (use as many sheets as necessary)</small>		Application Number	09/963,777
		Filing Date	September 26, 2001
		First Named Inventor	Robert S. Kieval et al.
		Art Unit	3762
		Examiner Name	Unassigned
Sheet 3	of	Attorney Docket Number	
		021433-000120US	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T- ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	09/963,777
		Filing Date	September 26, 2001
		First Named Inventor	Kieval
		Art Unit	3762
		Examiner Name	Unassigned
Page	1	of	2
		Attorney Docket Number	021433-000120US

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U.S. PATENT DOCUMENTS

Examiner	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ^a (if known)			
SPD	1	3,943,936	03-16-1976	RASOR et al.	
	2	5,215,089	06-03-1993	BAKER, Jr.	
	3	5,540,735	07-30-1996	WINGROVE	
	4	5,545,202	08-13-1996	DAHL et al.	
	5	5,766,236	06-16-1998	DETTY et al.	
	6	5,861,015	01-19-1999	BENJA-ATHON	
	7	6,438,428	08-20-2002	AXELGAARD et al.	
	8	6,564,101	05-31-2003	ZIKRIA	
	9	2002/0005982	01-17-2002	BORLINGHAUS	
	10	2002/0103516	08-01-2002	PATWARDHAN et al.	
	11	2002/0151051	10-17-2002	LI	
	12	2003/0040785	02-27-2003	MASCHINO et al.	

FOREIGN PATENT DOCUMENTS

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**INFORMATION DISCLOSURE
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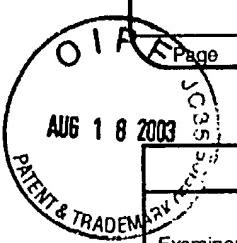
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Page 2 of 2

Complete if Known

Application Number	09/963,777
Filing Date	September 26, 2001
First Named Inventor	Kieval
Art Unit	3762
Examiner Name	Unassigned

Attorney Docket Number 021433-000120US



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NON PATENT LITERATURE DOCUMENTS		
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
JPO	13	Brattstrom, A., Influence of Continuous and Intermittent (R-Wave Triggered) Electrical Stimulation of the Carotid Sinus Nerve on the Static Characteristic of the Circularoty Regulator, Experientia 28:414-416, 1972.
	14	Peters et al., The Principle of Electrical Carotid Sinus Nerve Stimulation: A Nerve Pacemaker System for Angina Pectoris and Hypertension Therapy, Annals of Biomedical Engineering, 8:445-458, 1980.
	15	Peters et al., Cardiovascular response to time delays of electrocardiogram-coupled electrical stimulation of carotid sinus nerves in dogs, Journal of the Autonomic Nervous Systems, 25:173-180, 1988.
	16	Richter et al., The Course of Inhibition of Sympathetic Activity during Various Patterns of Carotid Sinus Nerve Stimulation, Pflugers Arch., 317:110-123, 1970.
	17	Sedin, Gunnar, Responses of the Cardiovascular System to Carotid Sinus Nerve Stimulation, Upsala J Med Sci, 81:1-17, 1976.
	18	Warzel et. al., Effects of carotis sinus nerve stimulation at different times in the respiratory and cardiac cycles on variability of heart rate and blood pressure of normotensive and renal hypertensive dogs, Journal of the Autonomic Nervous System, 26:121-127, 1989.
	19	Warzel et. al., The Effect of Time of Electrical Stimulation of the Carotid Sinus on the Amount of Reduction in Arterial Pressure, Pflugers Arch., 337:39-44, 1972.

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		Application Number	09/963,777
		Filing Date	September 26, 2001
		First Named Inventor	Robert S. Kieval
		Art Unit	3762
		Examiner Name	Unassigned
Sheet	1	of	1
		Attorney Docket Number	
		021433-000120US	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	09/983,777
		Filing Date	September 26, 2001
		First Named Inventor	Kieval
		Art Unit	3762
		Examiner Name	Unassigned
		Attorney Docket Number	021433-000120US
Page	1	of	2

U.S. PATENT DOCUMENTS

U.S. PATENT DOCUMENTS				
		Document Number		
Examiner	Cite No.	Number Kind Code ^a (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
XO	1	3,943,936	03-16-1976	RASOR et al.
	2	5,215,089	06-03-1993	BAKER, Jr.
	3	5,540,735	07-30-1996	WINGROVE
	4	5,545,202	08-13-1996	DAHL et al.
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	6	5,881,015	01-19-1999	BENJA-ATHON
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	8	6,584,101	05-31-2003	ZIKRIA
	9	2002/0005982	01-17-2002	BORLINGHAUS
	10	2002/0103516	08-01-2002	PATWARDHAN et al.
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	12	2003/0040765	02-27-2003	MASCHINO et al.

FOREIGN PATENT DOCUMENTS

Duplicate of IDS submitted 8/18/03

Examiner Signature	Frances P. Ondrey	Date Considered	10-28-04
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of

2

Complete If Known

Application Number	09/983,777
Filing Date	September 26, 2001
First Named Inventor	Kjeval
Art Unit	3762
Examiner Name	Unassigned
Attorney Docket Number	021433-000120US

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
JPO	13	Brattstrom, A., Influence of Continuous and Intermittent (R-Wave Triggered) Electrical Stimulation of the Carotid Sinus Nerve on the Static Characteristic of the Circularis Regulator, Experientia 28:414-416, 1972.
	14	Peters et al., The Principle of Electrical Carotid Sinus Nerve Stimulation: A Nerve Pacemaker System for Angina Pectoris and Hypertension Therapy, Annals of Biomedical Engineering, 8:445-458, 1980.
	15	Peters et al., Cardiovascular response to time delays of electrocardiogram-coupled electrical stimulation of carotid sinus nerves in dogs, Journal of the Autonomic Nervous Systems, 25:173-180, 1988.
	16	Richter et al., The Course of Inhibition of Sympathetic Activity during Various Patterns of Carotid Sinus Nerve Stimulation, Pflugers Arch., 317:110-123, 1970.
	17	Sedin, Gunnar, Responses of the Cardiovascular System to Carotid Sinus Nerve Stimulation, Upsala J Med Sci, 81:1-17, 1976.
	18	Warzel et al., Effects of carotid sinus nerve stimulation at different times in the respiratory and cardiac cycles on variability of heart rate and blood pressure of normotensive and renal hypertensive dogs, Journal of the Autonomic Nervous System, 26:121-127, 1989.
	19	Warzel et al., The Effect of Time of Electrical Stimulation of the Carotid Sinus on the Amount of Reduction in Arterial Pressure, Pflugers Arch., 337:39-44, 1972.

Duplicate of IDS submitted 8/18/03

Examiner Signature	Frances P. Odegey	Date Considered	10-28-04
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	09/963,777
				Filing Date	September 26, 2001
				First Named Inventor	KIEVAL, ROBERT S.
				Art Unit	3762
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	021433-000120US

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

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of 1

U.S. PATENT DOCUMENTS+				
		Document Number		
Examiner Initials*	Cite No. ¹	Number Kind Code ² (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
JPD	1	6,292,703	09-18-2001	Meier et al.
	2	6,208,894	03-27-2001	Schulman et al.
V	3	5,919,220	06-07-1999	Stiegritz et al.
	4	5,282,468	01-02-1994	Klepinski

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